




DOCUMENT TYPE	D	
ACADEMIC	1	
RESEARCH AND RESEARCH TRAINING	3	
RESEARCH MANAGEMENT	4	
NUMBER	008	
		Policy Database Document Reference Number 134008D

AUTHORSHIP OF RESEARCH PUBLICATIONS PROCEDURE

Parent Policy Title	Publication of Research Findings Policy																
Associated Documents	Research Integrity Policy Research Data Management Policy Responsible Conduct of Research Procedures																
Preamble	La Trobe University is committed to and adheres to best practice standards and principles in disseminating research and related activities.																
General	The award of authorship must be based on substantial scholarly contribution to the submitted publication. The purpose of this Procedure is to (1) define the criteria for authorship, (2) establish processes to minimise authorship disputes and to help to resolve those that do arise, and (3) ensure that all those who have contributed to a publication are included as authors or otherwise appropriately acknowledged.																
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1. Relevant Legislation and Guidelines	<p>All staff and students at the University are required to operate in the appropriate regulatory environment, as laid out in the Australian Code for the Responsible Conduct of Research (2007) and with reference to other State and Federal codes.</p> <p>Where manuscripts are prepared for submission to medical journals they should conform to the Uniform Requirements for Manuscripts submitted to Biomedical Journals (International Committee of Medical Journal Editors, ICMJE, 2008).</p>																
2. Criteria for Authorship in Research Publications	Attribution of authorship must be based on substantial contributions towards a research publication in a combination of project conception and design, analysis and interpretation of research data, and / or significant involvement in the drafting of the work or critical revisions that contribute to the interpretation of the work.																

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	<p>Attribution of authorship requires substantial intellectual involvement rather than simply the provision of technical support or materials or measurements on which a publication is based. Editors must have played a significant role in developing a publication in order to qualify as author.</p> <p>Higher degree by research student supervisors have the right to become co-authors of research outputs published by their students if they qualify for the attribution of authorship through substantial involvement in the conception, execution and / or interpretation of the work.</p>
3. Agreement on Authorship	<p>Persons qualifying as authors must give permission to be included or excluded as authors. The permission must be in writing and include a brief summary of the contributions of each author to the work.</p> <p>Agreement on authorship should be reached between collaborating researchers, including research trainees, at an early stage of the research project and be subject to periodic revision of the decisions.</p> <p>In the case of multiple authors an executive author must be nominated to record authorship and to manage communication about the work.</p> <p>Inclusion of authors who are deceased or can not be contacted can proceed only if they fulfil the requirements for authorship and if there are no grounds to believe that the person would have objected to be included as an author.</p>
4. Acknowledgement of Other Contributions	<p>Contributions to the research must be acknowledged fairly, including technical contributions and routine assistance and supervision, provision of data already published or provided by third party without intellectual input, provision of facilities and materials.</p> <p>Authors must obtain the consent of individuals proposed to be acknowledged in writing.</p> <p>All sources of funding should be listed in the acknowledgements.</p>
5. Maintenance of Agreements	<p>Written acknowledgement of authorship and consent must be retained by the department of the executive or senior author preferably in the form of email communication.</p>
6. Obligation to Reference La Trobe University in By-line	<p>La Trobe University staff, including adjunct appointments and students, is obliged to attribute La Trobe University as their primary affiliation in their by-line on any research publication. This requirement also applies to work conducted at the University and published after staff or students have left the institution.</p>
7. Failure to Comply with this Procedure	<p>Failure to comply with the Authorship of Research Publications Procedures may constitute research misconduct which can lead to serious penalties, including termination of employment.</p>
Status	<p>New procedure. Approved by Academic Board, 10 August 2011, Minute 450.3.3; Research and Graduate Studies Committee June/July 2011.</p>

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Approval Body	Academic Board
Initiating Body	Research and Graduate Studies Committee
Definitions	<p>Research Publication means a journal article, book, book chapter, conference paper or web-based publication dissemination the results of a research project.</p> <p>Research Publication Author refers to the person identified as sole or joint contributor to a research publication with significant intellectual input into the work.</p> <p>Plagiarism can be defined as reproducing someone else's words, ideas or findings and presenting them as one's own without proper acknowledgment. There are many forms of plagiarism, including but not limited to the following:</p> <ul style="list-style-type: none"> • direct copying of sentences, paragraphs or other extracts from someone else's published work (including on the Internet and in software) without acknowledging the source; • paraphrasing someone else's words without acknowledging the source; • using facts and information derived from a source without acknowledgement; • using ideas directly derived from an identifiable author without acknowledging the source.
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